

***Risk Pool Program Funds
for Children with Disabilities***

Procedures and Instructions

2017-2018

Revised August 1, 2017

**Contact for additional information and
submitting applicable Risk Pool Program Funds (RPF)
forms via postal mail:**

Lori Peterson, Special Projects Consultant
Special Programs and Data Section
Exceptional Children Division
N.C. Department of Public Instruction
6356 Mail Service Center
Raleigh, North Carolina 27699-6356

Phone: (919) 807-3932
Email: Lori.Peterson@dpi.nc.gov

Procedures and Instructions for Risk Pool Program Funds Table of Contents

The references listed below are information and directions to guide the LEA with completing the Risk Pool Program Funds (RPF) application for children with disabilities and submitting updated information throughout the year:

Reference I:	Procedures for Requesting and Reverting Risk Pool Program Funds	
	Basis of Application Approval	Page 2
	Maximum Years of Funding	
	Personnel	
	Equipment	
	Funding Requests	Page 3
	Approval Notification	
	Denial of Request	
	Child Ineligibility	
	Amendment of Requests	
	Withdrawals or Changes in Services	
	Reverting Funds	
Reference II:	Fiscal Requirements for Risk Pool Program Funds (PRC 114)	Page 4
Reference III:	Risk Pool Program Funds Allocation Rubric	Page 5
Reference IV:	Instructions for Completing a <i>Risk Pool Program Funds Application</i> (RPF-1)	Page 6
Reference V:	Instructions for Completing a <i>Risk Pool Program Funds End-of-Year Update Form</i> (RPF-2)	Page 8
Reference VI:	Instructions for Completing a <i>Risk Pool Program Funds Reversion Form</i> (RPF-3)	Page 9

RPF forms to be completed for submission are included in the list of supporting documents for the Risk Pool Program Application on the Exceptional Children Division website, located under the Finance and Grants tab.

Procedures for Requesting and Reverting Risk Pool Program Funds

Risk Pool Program Funds (RPF) for children with disabilities are not intended to replace any existing state, federal or local exceptional children funds. All **applications must be submitted via postal mail**, not email, and **postmarked on or before September 30, 2017**.

Basis of Application Approval:

Risk Pool Funds are available for a child who was **enrolled in the LEA during the previous year** and meets all the following criteria:

- The documented high cost needs of the child's special education and related services meet or exceed three times the annual per pupil expenditure.
 - The 2017-2018 per pupil expenditure used to determine eligibility is \$9,644. The special education and/or related service(s) must be at least \$28,801 or more (3 x \$9,600).
- The child meets or exceeds the minimum Risk Pool Funds Rubric score of eight (8) points,
- If the child received Risk Pool Program funds in 2016-17, an *End-of-Year Update* (RPF-2) was submitted to the Exceptional Children Division by June 30, 2017.

Approval is based on the documented high cost needs of the applicant child with disabilities, demonstrated by the criteria described above. All eligible applications will be ranked high to low using the individual child's rubric score. Allocations are made based on available funds, beginning with children who have the higher rubric scores.

Maximum Years of Funding: RPF can be provided for **up to a total of five (5) years** during the child's school career in North Carolina. Although LEAs can apply for RPF for a specific child, there is no guarantee that the application will be funded each year, and funding may not be granted in consecutive years. Allocations are determined by the rubric score and the availability of funds.

RPF are child specific grant dollars; therefore, **personnel** whose salaries are funded with RPF can work only with the child who is named in the RPF application (one child per application). The maximum period of employment for personnel salaries funded via an approved RPF application is the ten (10) calendar months for the LEA receiving the funding. Entry-level salaries noted in the current state salary schedule are to be used when requesting personnel funds. Locally provided benefits and supplements are not fundable expenditures. Policies regarding personnel also apply to **contracted persons**. Contractor compensation fund requests are not to exceed the portion of the contractual compensation amount for the services provided to the child named in the application. Special circumstances may justify costs being shared between two children if the support person is providing non-instructional duties such as toileting, feeding, etc. for both children. If the child withdraws from the LEA, personnel funded with RPF can no longer be supported with those funds.

Equipment requests must include a copy of the relevant evaluation(s) (i.e., PT, OT, SLP, Assistive Technology, etc.) and the Individualized Education Program (IEP) to justify the need for the child. An invoice or official itemized quote from the vendor that includes items needed and prices must also be submitted with the application. Any equipment purchased for a child with RPF must accompany the child if the child transfers to another LEA in North Carolina. If the child moves out of North Carolina, the equipment remains with the LEA.

Funding requests must take into account the projected actual costs of the child's needs. Considerations include personnel benefits, the need for substitute personnel and the child's historical attendance (frequent absences decrease costs of some services). When costs are overestimated, the number of children state-wide who benefit from grant funds decreases, resulting in children who are denied funding due to lack of funds. As the school year progresses and it is calculated that funds will be remaining, a *Risk Pool Program Reversion Form* (RPF-3) is to be completed for submission. See "Reverting Funds" for more information

Approval notification will be provided via a letter, sent by postal mail to the Exceptional Children Program Director/Coordinator. The letter will state the exact amount allocated and how the allocated funds can be spent. These funds are child specific and can only be used as specified in the approval letter.

Denial of Request: All requests will be reviewed by the Exceptional Children Division. If the request is denied, the LEA will be notified via a letter, sent by postal mail to the Exceptional Children Program Director/Coordinator, indicating the reason for denial.

Child Ineligibility:

1. If an application for Risk Pool Program Funds is submitted and approved for a child, the child is not eligible for other funding such as Group/Foster Home (PRC 032/ 060), Behavioral Support (PRC 029), Special State Reserve Program (PRC 063/036), Out-of-District Funds (PRC 060), Developmental Day Center Funds (PRC 063) or Community Residential Center Funds (PRC 063).
2. Child does not meet or exceed the minimum Risk Pool Program Rubric Score of eight (8) points.

Amendment of Requests: If amendments are needed in a child's original application, or there is a need to utilize these funds differently, the LEA must notify the Exceptional Children Division in writing via electronic or postal mail. The Exceptional Children Division will approve or deny the requested amendments or the changes in the utilization of the approved funds via electronic mail. The email message must be printed and attached to the LEA's copy of the application to serve as documentation of the approved or denied changes.

Withdrawals or Changes in Services: The Exceptional Children Division must be notified of any change in child status, eligible required services, or withdrawal of child in writing no later than **ten (10) calendar days** after the child has withdrawn. For children who have withdrawn or who are no longer eligible as per the IEP Team, a completed *End-of-Year Update Form* (RPF-2) is to be submitted. Unless approved by the Exceptional Children Division, funds cannot be used for another child or for a child's application that was not funded due to unavailability of funds (all funds were allocated).

Reverting Risk Pool Program Funds: Any unused funds must be returned using the *Risk Pool Program Reversion Form* (RPF-3). RPF may revert for various reasons. Several examples follow:

- (a) The child approved for funds no longer needs the services designated on the application (i.e., child withdraws/leaves the LEA).
- (b) The child no longer needs the level of services specified in the initial application (i.e., full-time 1:1 to half-time).
- (c) The IEP Team determines the child no longer qualifies for services.
- (d) The funds were allocated for a specific starting date and the child was not in place, or the child had many absences and a contractor invoiced only for days the child was present.

By reverting funds during the school year, funds can be reallocated to benefit a child whose application was previously denied due to lack of funds.

Fiscal Requirements for Risk Pool Program Funds PRC 114

1. Risk Pool Program Funds must be used for only the child named in the application.
2. Costs for special education and related services must be for direct services to the child. Prorating costs for teachers cannot be used in the calculation of the cost of special education and related services.
3. Group costs cannot be used to satisfy fiscal requirements.
4. Risk Pool Program Funds are not to be used to support special educational methodologies, fund teacher positions (permanent or contracted), create new classes, provide transportation (unless special circumstances exist), and/or purchase consumable materials. Costs must show excess in personnel required, assistive technology and specialized equipment, etc.
5. These funds may not be used to contract for special education and/or related service(s) to serve the child outside the LEA.
6. Risk Pool Program Funds cannot be used for reimbursement of past year's expenses.
7. Indirect cost(s) cannot be charged to this program.
8. State Exceptional Children per pupil allocation (PRC 032) and Federal IDEA Part B per pupil allocation (PRC 060) received by the LEA for the child will be subtracted from the approved allocation.
9. All decisions regarding Risk Pool funding will be made by November 15, 2017. Allocation information including the child(ren) approved and funding amounts will be mailed to the LEA's Exceptional Children Program Director/Coordinator.
 - Notification of approved application(s) will be sent to the School Allotment Section. Federal funds for PRC 114 will not be available until November. The finance officer will receive an allotment revision report indicating the amount approved under PRC 114. LEAs may not spend funds from PRC 114 until the allotment revision report has been received.
10. The LEA must promptly establish and submit the PRC 114 Risk Pool Program Funds budget on the Budget and Amendment System (BAAS) for all approved services.
11. Funds may only be used for services described in the original application. Any amendments to the application and budget must be submitted in writing or electronic mail and approved by the Exceptional Children Division.
12. Risk Pool Program Funds do not carry over and must be expended by June 30th of each year.
13. During the school year, unused funds must be returned using the *Risk Pool Program Fund Reversion Form* (RPF-3) within ten (10) days of the child's withdrawal.
14. For children enrolled the entire year, the RPF-3 is due by June 30th of each year when there are remaining funds.
15. All unused funds will revert on June 30th of each year.

Rubric for Risk Pool Program Funds Allocation 2017-2018 School Year

For a child to be eligible for points, services noted in the rubric are to be documented in the child's IEP.

Rubric scores are based on an individual child's needs, not the needs of two or more children combined.

Staff members can be counted in the rubric only one time. Points are not based on a staff member's role or multiple roles but rather the primary position in which he/she is serving.

There may be rare instances when a child requires such a high need of service that two staff persons are required to access the educational program. If this is the case, the needs must be described in the narrative portion of the application.

Example 1: A child requires a teacher assistant for all activities of daily living, but also has some medical concerns that call for a Certified Nursing Assistant (CNA). The CNA is the only individual serving the child for all areas of need (medical and daily living), so the rubric score would be a three (3).

Example 2: A child requires a teacher assistant for all activities of daily living but also requires an interpreter. Two individuals are addressing the child's needs; therefore, five (5) points for the interpreter and three (3) points for the teacher assistant would be received.

A minimum of eight (8) total points is required to be eligible for Risk Pool Program Funds.

	Points
1. Child requires a 1:1 nurse (RN, LPN).	6
2. Child requires an Interpreter, Transliterater, assistance from a Language Facilitator or a Deaf Blind Intervener.	5
3. Child requires a Brailist.	4
4. Child requires 1:1 personal assistant for all activities of daily living skills (dressing, toileting, feeding, communication, socialization, safety, etc.).	3
5. Child requires CNA services.	3
6. Child requires 1:1 personal assistant for behavior support.	2
7. Child requires two or more related services (OT, PT, SLP, O&M specialist, etc.).	1
8. Child requires assistive technology to access educational services.	1
9. LEA is over the 12. 75% cap.	1
10. Exceptional Children Program does not receive local funds.	1
11. LEA receives Low Wealth funds, OR has been identified as being significantly disproportionate (mandatory 15% CEIS).	1

Instructions for Completing the RFP-1 Risk Pool Program Funds Application Form

The application is in a fillable Microsoft Word format. Navigate between fields using the tab key or mouse click. The completed application must be printed, signed, submitted with original signatures via postal mail, postmarked on or before September 30, 2017.

PART I: LEA Information

Enter the LEA name and the LEA number.

Select Region Name from the drop-down list.

Enter EC Director/Coordinator Information.

PART II: Child's Information

Enter the child's name, date of birth, and NC Student ID (PowerSchool number).

Select check box for gender.

Select the following from corresponding drop-down lists: ethnicity, disability, and IEP current placement.

Select "Yes" or "No" check boxes to answer all remaining questions in Part II.

- If "Yes" is selected for last question about another application submitted for the child named in the application, enter the name of the other application(s) in the field provided.

PART III: Child's Needs and Services

Select "Yes" or "No" check box to answer question about whether the child's needs for which funds are being requested are documented.

- If "Yes," attach supporting documentation (examples of documentation may include IEP program participation, IEP service delivery and other appropriate supporting documentation demonstrating the child's high needs).

Select "Yes," "No," or "NA" (not applicable) check box to answer question about whether needed personnel has been hired/contacted.

- If "No" is checked, provide information as to why the needed personnel has not been hired.

Select "Yes" or "No" check boxes to answer all items listed in the table.

Answer the two narrative questions; the space will expand as characters are entered into the field provided.

PART IV: Materials/Equipment Request

Select "Yes" or "No" check box to answer question about whether the child currently uses supplemental aids and/or assistive technology.

Select "Yes" or "No" check box to answer question about funding request for assistive technology or equipment requested.

- If "Yes," provide required copy/copies of the relevant evaluation(s) (i.e., PT, OT, SLP, Assistive Technology, etc.) and the IEP to justify the need for the child. An itemized list of the materials, including prices and vendors, must be submitted with the application.

PART V: Financial Impact on the LEA

Select “Yes” or “No” check box to each answer question about the LEA:

1. Is the LEA over the 12.75% cap (more than 12.75% of the children in average daily membership [ADM] counted as children with disabilities)?
2. Does the LEA receive local funding for children with disabilities?
3. Does the LEA receive Low Wealth funds or has it been identified as having significant disproportionality (mandatory 15% CEIS)?

Answer the narrative question; the space will expand as characters are entered into the field provided.

Part VI: Funds Requested

Request must correspond with needs presented in Part III to Part V.

- LEAs must take into account the projected actual costs of the child’s needs. Considerations include personnel benefits, the need for substitute personnel and the child’s historical attendance (frequent absences decrease costs of some services).
- Allowable expenditures may be found in the *Uniform Chart of Accounts, Children with Disabilities* PRC 114 (<http://www.ncpublicschools.org/fbs/>).
- Entry-level salaries noted in the current state salary schedule are to be used.
 - If the LEA has determined that **only** an experienced person can meet the needs of the child, an explanation must be provided when describing the child’s needs in Part III.

To enter data in the table, use the tab key between fields.

- Enter the budget code for which funds are requested (example: 01.2345.678.901).
- Enter a description of the request (example: personal assistant salary).
- Provide the exact amount of funds requested.
- Total funds requested and enter total in gray box.

Part VII: Certification

By signing the application with original signatures, the Superintendent, Finance Officer, and Exceptional Children Director are acknowledging and certifying the following:

1. A *Risk Pool Program Funds End-of-Year Update* (RPF-2) is required from all LEAs receiving Risk Pool Program Funds to provide a detailed update on the child’s status. Failure to submit the End-of-Year Update will prevent the LEA’s participation in Risk Pool Program funding for 2018-2019.
 - The RPF-2 should be postmarked on or before June 30, 2018, for children who are enrolled through the end of the school year.
 - If a child’s status has changed (i.e., the child is no longer enrolled or services are no longer needed) the RPF-2 is to be submitted no later than ten (10) calendar days after the change.
2. The services requested are needed to provide appropriate special education services for the child named in the application.
3. The LEA has committed available funds to provide appropriate special education and related services to the child listed in the application. Risk Pool Program Funds (RPF) are not intended to replace any existing state, federal, or local exceptional children funds. These additional funds will be used only for the child named in this application.
4. All unspent and contractually uncommitted available funds will be returned to the School Allotment Section immediately after it has been determined that funds will not be used as proposed using the *Risk Pool Program Funds Reversion Form* (RPF-3).

Instructions for Completing the Risk Pool Program Funds End-of-Year Update (RPF-2)

The form is in a fillable Microsoft Word format. Navigate between fields using the tab key or mouse click.

A *Risk Pool Program Funds End-of-Year Update* (RPF-2) is required from all LEAs receiving Risk Pool Program Funds to provide a detailed update on the child's status. Failure to submit the End-of-Year Update will prevent participation in Risk Pool Program Funding for 2018-2019.

- **During the school year when a child's status changes** (i.e., child is no longer enrolled or services are no longer needed), the form is completed **no later than ten (10) calendar days after the change**.
- For a **child who is enrolled through the end of the year**, this form is completed at the end of the school year and is **postmarked on or before June 30, 2018**.

PART I: LEA Information

Enter the date the form is completed, located above and to the right of the LEA Information box.

Enter the LEA name and the LEA number.

Select Region Name from the drop-down list.

Enter EC Director/Coordinator Information.

PART II: Child's Information

Enter the child's name, date of birth, and NC Student ID (PowerSchool number).

Select the following from corresponding drop-down lists: disability and IEP current placement.

Enter the amount of funds allocated; this is the amount of money the LEA received. It is noted on the approval letter mailed to the LEA.

Enter the amount of funds utilized; use the LEA's financial records to calculate the approved expenditures for the child.

Note: If all funds were not used, also complete a Risk Pool Program Funds Reversion Form (RPF-3).

Select "Yes" or "No" check boxes to answer question whether the child is currently enrolled.

- If "No," enter the withdrawal date and complete only the "Child Update" section.
- If "Yes," complete the "Child Update" section and answer the two questions.

PART III: Required Signatures

Original signatures are required from the Superintendent, Exceptional Children Program Director/Coordinator, and Finance Officer prior to submitting via postal mail.

Instructions for Completing the Risk Pool Program Funds Reversion Form (RPF-3)

The form is in a fillable Microsoft Word format. Navigate between fields using the tab key or mouse click.

If all or a portion of Risk Pool Program Funds allocated to a child are not needed, the funds must be reverted. A reversion form can be completed at any time during the year when it is realized funds will not be utilized. The process of reverting funds during the school year allows for funds to be reallocated to benefit children whose applications were previously denied to due lack of available funds.

- **During the school year when a child's status changes** (i.e., the child is no longer enrolled or services are no longer needed), the RPF-3 is completed **no later than ten (10) calendar days after the change**.
- For a **child who is enrolled through the end of the year**, the RPF-3 is typically submitted with the *Risk Pool Funds End-of-Year Update* (RPF-2), with a **postmark on or before June 30, 2018**.

PART I: LEA Information

Enter the date the form is completed, located above and to the right of the LEA Information box.

Enter the LEA name and the LEA number.

Select Region name from the drop-down list.

Enter EC Director/Coordinator Information.

PART II: Child's Information

Enter the child's name, date of birth, and NC Student ID (PowerSchool number).

Select the following from corresponding drop-down lists: disability and IEP current placement.

Enter on Line 1 the amount of funds allocated; this would be the funds the LEA received. It is noted on the approval letter mailed to the LEA.

Enter on Line 2 the amount of funds utilized; use the LEA's financial records to calculate the approved expenditures for the child.

Calculate Line 1 minus Line 2.

Enter the amount on Line 3. This is the amount to be reverted.

PART III: Required Signatures

Original signatures are required from the Superintendent, Exceptional Children Program Director/Coordinator, and Finance Officer prior to submitting via postal mail.